Attorney Docket No. 51949 (ACT-162)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Dan A. Steinberg

U.S.S.N.:

09/966,973

Art Unit: 2874

FILED:

September 28, 2001

FOR:

OPTICAL DEVICE PACKAGE

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on -

5/10/04

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

05/12/2004 NROCHA1 00000055 09966973

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

01 FC:1806

180.00 OP

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications or other information submitted for consideration by the Examiner are listed on the PTO-1449 form, attached hereto. The documents submitted were not previously cited.

II. **COPIES**

Submitted herewith is a legible copy of (i) each U.S and foreign patent or English abstract of foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

III. CONCISE EXPLANATION OF THE RELEVANCE

All of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).

FEES

IV.	THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)					
	(check one box)				
	a. 🗌	within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1)). No fee or certification is required.				
	b	within three months of the date of entry of the national stage as set forth in §1.491 in an international application (37 C.F.R. § 1.97(b) (2)). No fee or certification is required.				
	c. 🗌	before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b) (3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e)below, or, if no certification has been made, charge our deposit account a fee in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p).				
v.	THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c): (check one box)					
		ing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) nailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c)				
	a. No cer	tification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R § 1.17(p).				
	b. See the	e certification below. No fee is required.				
VI.	CERTIFICA	TION UNDER 37 C.F.R. § 1.97(e) (check only one box)				
The un	dersigned hereb	y certifies that				
	a. 🗌	each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or				
	b	no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.				

	c	Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.
X		Enclosed please find a check in the amount of \$_180.00_\text{for the above indicated fee.}
		Please charge Deposit Account No. 04-1105 in the amount of \$180.00 for the above-indicated fee. A triplicate copy of this paper is attached.
		No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition, if necessary) and charge the appropriate fee to Deposit Account No. 04-1105.

Respectfully submitted,

S. Matthew Cairns (Reg. No. 42,378)

EDWARDS & ANGELL, LLP

P.O. Box 55874 Boston, MA 02205 (508) 229-7545



Sheet 1 of 1

FORM PTO-14	149		ATTY DOCKET NO. SERIAL NO.			
INFORMATIO	ON DISCLOSURE STATEMENT					
			APPLICANT(S):			
			FILING DATE:	ART U	NIT:	
	UNITED S	STATES PATENT	DOCUMENTS			
EXAM. ÍNITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FIL. DATE IF APPR
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	OTHER DOCUMENTS (INCLUDI	ING AUTHOR, TIT	LE, DATE, PERTINENT P.	AGES, ETC	C.)	
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Atty Docket No.	Serial No.		
51949 (ACT-162)	09/966,973		
Applicant	-		
Dan A. ST	EINBERG		
Filing Date	Group		
09/28/2001	2874		

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	DOCUMENT NUMBER	DATE		Class/Subclass	FILING DATE II APPROPRIATE
AA	2001/0022382	09/20/2001	Shook		
AB	2002/0090749	07/11/2002	Simmons		-
AC	2002/0113296	08/22/2002	Cho et al.		-
AD	2003/0071283	04/17/2003	Heschel		
AE	2003/0095759	05/22/2003	Dautartas et al.		
AF	2003/0123816	07/03/2003	Steinberg et al.		
AG	2004/0012083	01/22/2004	Farrell et al.		
AH	3,404,215	10/01/1968	Burks et al.		
Al	3,768,991	10/30/1973	Rogers		
AJ	3,874,549	04/01/1975	Hascoe		
AK	4,038,157	07/26/1997	Kim et al.		
		FOREIGN PA		· · · · · · · · · · · · · · · · · · ·	
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	AB AC AD AE AF AG AH AI AJ AK AL AM AN AO AP AQ AR	AA 2001/0022382 AB 2002/0090749 AC 2002/0113296 AD 2003/0071283 AE 2003/0095759 AF 2003/0123816 AG 2004/0012083 AH 3,404,215 AI 3,768,991 AJ 3,874,549 AK 4,038,157 DOCUMENT NUMBER AL AM AN AO AP OTHER ART (In AQ AR	AA 2001/0022382 09/20/2001 AB 2002/0090749 07/11/2002 AC 2002/0113296 08/22/2002 AD 2003/0071283 04/17/2003 AE 2003/0095759 05/22/2003 AF 2003/0123816 07/03/2003 AG 2004/0012083 01/22/2004 AH 3,404,215 10/01/1968 AI 3,768,991 10/30/1973 AJ 3,874,549 04/01/1975 AK 4,038,157 07/26/1997 FOREIGN P/ DOCUMENT DATE AL AM AN AN AO AP OTHER ART (Including Auth	AA 2001/0022382 09/20/2001 Shook AB 2002/0090749 07/11/2002 Simmons AC 2002/0113296 08/22/2002 Cho et al. AD 2003/0071283 04/17/2003 Heschel AE 2003/0095759 05/22/2003 Dautartas et al. AF 2003/0123816 07/03/2003 Steinberg et al. AG 2004/0012083 01/22/2004 Farrell et al. AH 3,404,215 10/01/1968 Burks et al. AI 3,768,991 10/30/1973 Rogers AJ 3,874,549 04/01/1975 Hascoe AK 4,038,157 07/26/1997 Kim et al. FOREIGN PATENT DOCUMENTS DOCUMENT NUMBER DATE COUNTRY AL AM AN AO AP OTHER ART (Including Author, Title, Date, Pertinent AQ AR AS	DOCUMENT NUMBER NAME Class/Subclass



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EXAMINER		DOCUMENT	DATE DATE	NAME	Class/Subclass	FILING DATE I
INITIALS		NUMBER	40/07/4077			APPROPRIATE
	AT	4,065,203	12/27/1977	Goell et al.		
	AU	4,199,222	04/22/1980	Ikushima et al.		
	AV	4,270,134	05/26/1981	Takeda et al.		
	AW	4,791,075	12/13/1988	Lin	,	
	AX	4,802,952	02/07/1989	Kobori et al.		
	AY	4,818,058	04/04/1989	Bonanni		
	AZ	4,826,272	05/02/1989	Pimpinella et al.		
	ВА	4,907,065	03/06/1990	Sahakian		
	BB	5,323,051	06/21/1994	Adams et al.		
	ВС	5,448,014	09/05/1995	Kong et al.		
	BD	5,454,055	09/26/1995	Kragl et al.		
	L		FOREIGN PA	ATENT DOCUMENTS		
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	DOCUMENT NUMBER	DATE	NAME	Class/Subclass	FILING DATE II
ВМ	5,475,778	12/12/1995	Webb		
BN	5,497,027	03/05/1996	Crafts		
ВО	5,504,372	04/02/1996	Braden et al.		-
BP	5,550,398	08/27/1996	Kocian et al.		
BQ	5,557,695	09/17/1996	Yamane et al.		
BR	5,562,837	10/08/1996	De Givry		· · · · ·
BS	5,604,160	02/18/1997	Warfield		
ВТ	5,625,733	04/29/1997	Frigo et al.		
BU	5,631,502	05/20/1997	Shimada		
BV	5,635,761	06/03/1997	Cao et al.		
BW	5,656,552	08/12/1997	Hudak et al.		
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	NUMBER			Class/Subclass	FILING DATE II APPROPRIATE
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CG	5,747,870	05/05/1998	Pedder		
СН	5,774,614	06/30/1998	Gilliand et al.		
CI	5,784,780	07/28/1998	Loo		
CJ	5,798,557	08/25/1998	Salatino et al.		
СК	5,812,571	09/22/1998	Peters		***************************************
CL	5,818,404	10/06/1998	Lebby et al.	*	
СМ	5,915,168	06/22/1999	Salatino et al.		
CN	5,917,976	06/29/1999	Yamaguchi		
СО	5,933,558	08/03/1999	Sauvageau et al.		
СР	5,966,488	10/12/1999	Miura et al.		
<u> </u>		FOREIGN PAT	ENT DOCUMENTS	L	*
		DATE	COUNTRY	Class/Subclass	Translation Yes/No
CQ					
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	CI CJ CK CL CM CN CO CP CQ CR CS CT CU CV CW	CF 5,699,073 CG 5,747,870 CH 5,774,614 CI 5,784,780 CJ 5,798,557 CK 5,812,571 CL 5,818,404 CM 5,915,168 CN 5,917,976 CO 5,933,558 CP 5,966,488 DOCUMENT NUMBER CQ CR CS CT CU OTHER ART (I	DOCUMENT NUMBER CF 5,699,073 12/16/1997 CG 5,747,870 05/05/1998 CH 5,774,614 06/30/1998 CI 5,784,780 07/28/1998 CJ 5,798,557 08/25/1998 CK 5,812,571 09/22/1998 CL 5,818,404 10/06/1998 CM 5,915,168 06/22/1999 CN 5,917,976 06/29/1999 CO 5,933,558 08/03/1999 CO 5,966,488 10/12/1999 FOREIGN PAT DOCUMENT NUMBER CQ CR CS CT CU OTHER ART (Including Authority CV CW CW CW CT CU CT CU CT CU CT CU CT CV CW CT CV CW CT CU CT CT	NUMBER 12/16/1997 Lebby et al.	DOCUMENT NUMBER



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		U.S. Pate	ent Documents		_
	DOCUMENT NUMBER	DATE	NAME	Class/Subclass	FILING DATE I
CY	6,056,448	05/02/2000	Sauter et al.		
CZ	6,061,228	05/09/2000	Palmer et al.		-
DA	6,106,735	08/22/2000	Kurle et al.		
DB	6,130,979	10/10/2000	Isaksson et al.		в .
DC	6,165,885	12/26/2000	Gaynes et al.		
DD	6,207,950	03/27/2001	Verdiell		
DE	6,228,675	05/08/2001	Ruby et al.		
DF	6,318,909	11/20/2001	Giboney et al.		
DG	6,318,910	11/20/2001	Higashikawa		
DH	6,376,280	04/23/2002	Ruby et al.		
DI	6,377,742	04/23/2002	Go		
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	CZ DA DB DC DD DE DF DG DH DI DI DL DM DN DO DP	NUMBER CY 6,056,448 CZ 6,061,228 DA 6,106,735 DB 6,130,979 DC 6,165,885 DD 6,207,950 DE 6,228,675 DF 6,318,909 DG 6,318,910 DH 6,376,280 DI 6,377,742 DOCUMENT NUMBER DJ DK DL DM DN OTHER ART (I DO DP	DOCUMENT NUMBER DATE	DOCUMENT DATE NAME	DOCUMENT NUMBER DATE NAME Class/Subclass



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Atty Docket No.	Serial No.
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DOCUMENT DATE NAME Class/Subclass Filing DATE Country Class/Subclass Translatic Yes/No Foreign Patent Documents Class/Subclass Translatic Yes/No Foreign Patent Documents Class/Subclass Class/Subc
NUMBER
DS 6,452,238 09/17/2002 Orcutt et al. DT 6,611,001 08/26/2003 Cappuzzo et al. DU 6,635,866 10/21/2003 Chan et al. DV 6,680,491 01/20/2004 Nakanishi et al. DW DX DX DZ EA EB FOREIGN PATENT DOCUMENTS Class/Subclass Translatic Yes/No
DT 6,611,001 08/26/2003 Cappuzzo et al. DU 6,635,866 10/21/2003 Chan et al. DV 6,680,491 01/20/2004 Nakanishi et al. DW DX
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